

Sheet 1 of 14

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 11898-002002	Application No. 09/654,655
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant MICHAEL D. LAUFER, ET AL.	
(37 CFR §1.98(b))		Filing Date September 5, 2000	Group Art Unit 3731

## U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
JMM	AA	3,875,648	04-08-1975	Bone			
	AB	4,696,300	09-29-1987	Anderson			
	AC	4,705,040	11-10-1987	Mueller et al.			
	AD	4,753,469	06-28-1988	Hiscott et al.			
	AE	4,809,695	03-07-1989	Gwathmey et al.			
	AF	5,015,249	05-14-1991	Nakao et al.			
	AG	5,336,263	08-09-1994	Ersek et al.			
	AH	5,451,406	09-19-1995	Lawin et al.			
	AI	5,645,552	07-08-1997	Sherts			
	AJ	5,674,230	10-07-1997	Tovey et al.			
	AK	5,958,444	09-28-1999	Wallace et al.			
	AL	5,984,932	11-16-1999	Yoon			
	AM	6,083,202	07-04-2000	Smith			
	AN	6,086,603	07-11-2000	Termin et al.			
	AO	6,098,629	08-08-2000	Johnson et al.			
	AP	6,129,761	10-10-2000	Hubbell			
	AQ	6,152,935	11-28-2000	Kammerer et al.			
	AR	6,258,064 B1	07-10-2001	Smith et al.			
	AS	6,645,201	11-11-2003	Utley et al.			
AT	6,660,301 B1	12-09-2003	Vogel et al.				
AU	6,669,713 B2	12-30-2003	Adams				
AV	2001/0049537 A1	12-06-2001	Kortenbach				
AW	2003/0195509 A1	10-16-2003	Edwards et al.				

## Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation
JMM	AX	WO 2004/000129 A2	12-31-2002	WIPO			Yes No

Examiner Signature <i>Joshua M. Moo</i>	Date Considered 8-1-07
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Sheet 2 of 2<sup>14</sup>

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 11898-002002	Application No. <u>10/820127</u> <del>09654,655</del>
Information Disclosure Statement by Applicant (Use several sheets if necessary)  (37 CFR §1.98(b))		Applicant MICHAEL D. LAUFER, ET AL.	
		Filing Date <u>09/08/2004</u> <del>September 5, 2000</del>	Group Art Unit 3731

## Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
<i>MM</i>	AY	WO 00/35529	06-22-2000	WIPO				
	AZ	WO 00/78229 A1	12-28-2000	WIPO				
	AAA	WO 02/094341 A2	11-28-2002	WIPO				
	ABB	WO 02/40081 A2	05-23-2002	WIPO				
	ACC	WO 02/45603 A1	06-13-2002	WIPO				
	ADD	WO 03/000115 A2	01-03-2003	WIPO				
	AEE	WO 03/004087 A1	01-16-2003	WIPO				
	AFF	WO 03/007796 A2	01-30-2003	WIPO				
	AGG	WO 03/015604 A2	02*-27-2003	WIPO				
	AHH	WO 03/082359 A1	10-09-2003	WIPO				
	AII	WO 03/090633 A2	11-06-2003	WIPO				
	AJJ	WO 03/092498 A1	11-13-2003	WIPO				
	AKK	WO 03/092509 A1	11-13-2003	WIPO				
	ALL	WO 03/094800 A2	11-20-2003	WIPO				
	AMM	WO 03/098885 A1	11-27-2003	WIPO				
	ANN	WO 03/099137 A2	12-04-2003	WIPO				
	AOO	WO 03/099139 A1	12-04-2003	WIPO				
	APP	WO 03/099140 A1	12-04-2003	WIPO				
	AQQ	WO 03/099376 A1	12-04-2003	WIPO				
	ARR	WO 03/105917 A2	12-24-2003	WIPO				
	ASS	EP 0 975 263 B1	02-02-2000	EUROPE				

## Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
<i>MM</i>	ATT	Bancewicz et al., "Yield pressure, anatomy of the cardia and gastroesophageal reflux", Journal of Surgery, 1995, Vol. 82, pp. 943-947.
<i>MM</i>	AUU	Bancewicz et al., "Yield Pressure, Anatomy of the Cervix, and Gastroesophageal Reflux", The American Journal of Gastroenterology, Vol. 91, No. 3, 1996, pp. 616-617
<i>MM</i>	AVV	Singh et al., "Evaluation of the Endoscopic Suturing System in the Treatment of GERD", Digestive Disease Week, Orange County Convention Center, pp. A-802, 314, May 16-19, 1999.

Examiner Signature <i>Julian M. Moo</i>	Date Considered <i>8-1-07</i>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Sheet 3 of 14

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 11898-002002	Application No. <u>09/654,655</u> <u>10/820127</u>
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)		Applicant <b>Michael D. Laufer, et al.</b>	
		Filing Date <u>04/08/2004</u> <u>September 5, 2000</u>	
(37 CFR §1.98(b))		Group Art Unit <b>7731</b>	

## U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
<i>MM</i>	AA	6,387,104	05/14/02	Pugsley, Jr. et al.			
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

## Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							

## Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
------------------	-----------	----------

Examiner Signature <i>Michael M. Woo</i>	Date Considered <b>8-1-07</b>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Sheet 4 of 14

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 11898-002002	Application No. <u>10/820127</u> <u>09/654,655</u>
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)		Applicant <b>MICHAEL D. LAUFER, ET AL.</b>	
		Filing Date <u>04/08/2004</u> <u>September 5, 2000</u>	
(37 CFR §1.98(b))		Group Art Unit 3731	

U.S. Patent Documents							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
<i>MM</i>	AA	3,551,987	01/05/1971	J.E. Wilkinson			
<i>MM</i>	AB	5,433,721	07/18/1995	Hooven et al.			
<i>MM</i>	AC	5,465,894	11/14/1995	Clark et al.			
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	AQ	
	AR	
	AS	
	AT	

Examiner Signature <i>John M. Moo</i>	Date Considered <u>8-1-07</u>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Sheet 5 of 14

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 11898-002002	Application No. 09/654,655 <u>10/820127</u>
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant MICHAEL D. LAUFER, ET AL.	
		Filing Date <u>04/08/2004</u> <u>September 5, 2000</u>	Group Art Unit 3731
(37 CFR §1.98(b))			

## U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
<i>JMM</i>	AA	6,086,600	July 11, 2000	Kortenbach			
	AB	6,352,503	March 5, 2002	Matsui et al.			
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

## Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
<i>JMM</i>	AL	WO 02/24080	March 28, 2002	PT WIPO				
	AM							
	AN							
	AO							
	AP							

## Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	AQ	
	AR	
	AS	
	AT	

Examiner Signature <i>John M. Woo</i>	Date Considered <u>8-1-07</u>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Sheet 6 of 14

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 11898-002002	Application No. <u>10/820127</u> <del>09/654,655</del>
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)		Applicant <b>MICHAEL D. LAUFER, ET AL.</b>	
		Filing Date <u>04/08/2004</u> September 3, 2000	
(37 CFR §1.98(b))		Group Art Unit <u>3731</u>	

## U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
<i>DM</i>	AA	6,113,609	09/5/2000	Adams			
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

## Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

## Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	AQ	
	AR	
	AS	
	AT	

Examiner Signature <i>Julian M. Woo</i>	Date Considered <u>8-1-07</u>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Sheet 7 of 8<sup>14</sup>

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 11898-002001	Application No. 09/520,273
Information Disclosure Statement by Applicant (Use several sheets if necessary)  (37 CFR §1.98(b))		Applicant Michael D. Laufer, et al.	
		Filing Date March 7, 2006	Group Art Unit 3773

U.S. Patent Documents							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
JMM	AA	5,037,433	08/16/91	Wilk, et al.			
	AB	5,222,963	06/29/93	Brinkerhoff, et al.			
	AC	5,792,153	08/11/98	Swain, et al.			
	AD	5,901,895	05/11/99	Heaton, et al.			
	AE	6,009,877	01/04/00	Edwards			

Foreign Patent Documents or Published Foreign Patent Applications							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country of Patent Office	Class	Subclass	Translation Yes No
JMM	AF	EP 0 480 428 A2	04/15/92	Europe			
JMM	AG	EP 0 576 265 A2	12/29/93	Europe			
	AH						
	AI						
	AJ						

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
JMM	AK	Boerema, M.D., "Hiatus hernia: Repair by right-sided, subhepatic, anterior gastropexy," <u>Surgery</u> , 65:884-893 (1969).
	AL	Cecconello, "Esophagogastric Anastomosis with Valvuloplasty: An Experimental Study," <u>International Surgery</u> , 67:121-124 (1982).
	AM	Collis, M.D., "Surgical Control of Reflux in Hiatus Hernia," <u>The American Journal of Surgery</u> , 115:465-471 (1968).
	AN	Collis, M.D., "An Operation for Hiatus Hernia with Short Esophagus," <u>The Journal of Thoracic Surgery</u> , 34:768-778 (1957).
	AO	Cuschieri, et al., "Multicenter prospective evaluation of laparoscopic antireflux surgery," <u>Surgical Endoscopy</u> , 7:505-510 (1993).
	AP	DeMeester, M.D., et al., "Nissen Fundoplication for Gastroesophageal Reflux Disease," <u>Annals of Surgery</u> , 204:9-20 (1986).
	AQ	Donahue, M.D., et al., "Endoscopic Control of Gastro-Esophageal Reflux: Status Report," <u>World Journal of Surgery</u> , 16:343-346 (1992).
	AR	Donahue, M.D., et al., "Endoscopic sclerosis of the gastric cardia for prevention of experimental gastroesophageal reflux," <u>Gastrointestinal Endoscopy</u> , 36:253-256 (1990).
	AS	Falk, et al., "Laparoscopic Fundoplication: A preliminary report of the technique and postoperative care," <u>Aust. N.Z. J. Surgery</u> , 62:969-972 (1992).

Examiner Signature <i>J. William W. Woo</i>	Date Considered 8-1-07
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Sheet 2 of 2

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 11898-002001	Application No. 09/520,273
Information Disclosure Statement by Applicant (Use several sheets if necessary)  (37 CFR § 1.98(b))		Applicant Michael D. Laufer, et al.	08/20/27
		Filing Date March 7, 2000	Group Art Unit 3731

## Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
JMM	AT	Hill, et al., "Surgery for Peptic Esophageal Stricture," 139-147. WB Saunders Co. (1988)
	AU	Hill, M.D., "An Effective Operation for Hiatal Hernia: An Eight Year Appraisal," <u>Annals of Surgery</u> , 166:681-692 (1967).
	AV	Hill, et al., "The Esophagus. Medical and Surgical Management," <u>WB Saunders Co.</u> , 135-8 (1988).
	AW	Hunder, et al., "The Surgical Option for Gastroesophageal Reflux Disease," Symposium on Gastroesophageal Reflux Disease. <u>Am J Med</u> , 103:144S-148S (1997).
	AX	Ismail, et al., "Yield Pressure: A New Concept in the Evaluation of Gerd?," <u>AJG</u> , 91:616-617 (1996).
	AY	Jamieson, et al., "The development of surgery for gastro-oesophageal reflux disease," <u>Surgery of the Oesophagus</u> , 233-245 (1988).
	AZ	Jamieson, et al., "Laparoscopic Nissen Fundoplication," <u>Annals of Surgery</u> , 220:137-145 (1994).
	AAA	Janssen, et al., "Prospective randomized comparison of teres cardiopexy and Nissen fundoplication in the surgical therapy of gastro-oesophageal reflux disease," <u>Br. J. Surg.</u> , 80:875-878 (1993).
	ABB	Jennings, et al., "A Novel Endoscopic Transgastric Fundoplication Procedure for Gastroesophageal Reflux: An Initial Animal Evaluation," <u>Journal of Laparoendoscopic Surgery</u> , 2:207-213 (1992).
	ACC	Kahrilas, "Gastroesophageal Reflux Disease," <u>JAMA</u> , 276:983-988 (1996).
	ADD	Kraemer, M.D., et al., "Laparoscopic Hill repair," <u>Gastrointestinal Endoscopy</u> , 40:155-159 (1994).
	AEE	Little, M.D., "Mechanisms of Action of Antireflux Surgery: Theory and Fact," <u>World Journal of Surgery</u> , 16:320-325 (1992).
	AFF	Mason, et al., "Nissen Fundoplication Prevents Shortening of the Sphincter During Gastric Distention," <u>ARCH SURG.</u> , 132:719-726 (1997).
	AGG	McGouran, M.D., et al., "A later-induced scar at the cardia increases the yield pressure of the lower esophageal sphincter," <u>Gastrointestinal Endoscopy</u> , 36:439-443 (1990).
	AHH	McKernan, "Laparoscopic repair of gastroesophageal reflux disease," <u>Surgical Endoscopy</u> , 8:851-856 (1994).
	AII	Nathanson, et al., "Laparoscopic Ligamentum teres (round ligament) cardiopexy," <u>Br. J. Surg.</u> , 78:947-951 (1991).
	AJJ	Nissen, "Eine einfache Operation zur Beeinflussung der Refluxoesophagitis," <u>Journal Suisse De Medecine</u> , 590-592 (1956)
	AKK	O'Connor, et al., "Endoscopic placement of collagen at the lower esophageal sphincter to inhibit gastroesophageal reflux: a pilot study of 10 medically intractable patients," <u>Gastrointestinal Endoscopy</u> , 34:106-112 (1988).
	ALL	Pedinielli, "Traitement Chirurgical de la Herinie Hiatale Par La Technique du Collet," <u>Ann. Chir.</u> , 18:1461-1474 (1964). (English Abstract)
	AMM	Polk, et al., "Hiatal Hernia and Esophagitis: A survey of indications for operation and technic and results of fundoplication," <u>Ann. Surg.</u> , 173:775-781 (1971).
	ANN	Rampal, et al., "Technique Chirurgicale. Traitement des hernies hiatales et du reflux aoesophagien par la cardio-pexie avec le ligament round de foie," <u>La Presse Medicale</u> , 75:617-619 (1967).
	AOO	Rich, "Simple GERD Treatment Offers New Alternative," (www.medicalpost.com website), March 1999.

Examiner Signature <i>John M. Woo</i>	Date Considered 8-1-07
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Disclosure Form (PTO-1449)



Sheet <sup>9</sup> 3 of 2 <sup>14</sup>

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 11898-002001	Application No. <u>09/520,273</u> <sup>10</sup> / <u>820127</u>
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Michael D. Layfer, et al.	
		Filing Date <u>04/08/2004</u> March 7, 2000	Group Art Unit <u>3731</u>

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
<i>JMM</i>	APP	Singh, et al., "Evaluation of the Endoscopic Suturing System in the Treatment of GERD," <u>DDW</u> , May 16-19, 1999.
	AQQ	Skinner, et al., "Surgical management of esophageal reflux and hiatus hernia," <u>Journal of Thoracic and Cardiovascular Surgery</u> , 53:33-54 (1967).
	ARR	Starling, et al., "Assessment of the Angelchik Prosthesis for Treatment of Symptomatic Esophageal Reflux," <u>World J. Surg.</u> , 11, 350-355 (1987).
	ASS	Tocornal, M.D., et al., "A mucosal flap valve mechanism to prevent gastroesophageal reflux and esophagitis," <u>Surgery</u> , 64:519-523 (1968).
	ATT	Wang, et al., "A new anti-reflux procedure: cardiac oblique invagination," <u>Chung Hua Wai Ko Tsa Chih</u> , Feb: 33 (2) 73-5 (1995). (English Abstract)
	AUU	Watson, et al., "Comparison of anterior, posterior and total fundoplication using a viscera model," <u>Diseases of the Esophagus</u> , 10: 110-114 (1997).
	AVV	Westbrook, et al., "Posterior Surgical Approaches to the Rectum," <u>Annals of Surgery</u> , 195:677-691 (1982).

Examiner Signature <i>Jubian M. Moo</i>	Date Considered <u>8-1-07</u>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Disclosure Form (PTO-1449)

FORM PTO-1449(Modified)	ATTY. DOCKET NO. N0388/7000	SERIAL NO. US 8,860,127
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	APPLICANT Laufer et al.	
	FILING DATE 7 March 2000 04/08/2004	GROUP unassigned 3731

## U.S. PATENT DOCUMENTS

Exam Init	Ref Des	Document No.	Date	Name	Class	Sub Class	FILING DATE if Appropriate
	A1	US 5,346,504	09/13/94	Ortiz et al.	606	192	
	A2	US 5,403,326	04/04/95	Harrison et al.	606	139	
	A3	US 5,558,665	09/24/96	Kieturakis	606	1	
	A4	US 5,571,116	11/05/96	Bolanos et al.	606	143	
	A5	US 5,787,897	08/04/98	Kieturakis	128	898	
	A6	US 5,810,882	09/22/98	Bolduc et al.	606	213	
	A7	US 5,887,594	03/30/99	LoCicero III et al.	128	898	

## FOREIGN PATENT DOCUMENTS

	Country & Doc. No. (11)	Pub. Date (43)		Class	Sub Class	Translation Yes No
	BL WO 99/22649	05/14/99	ICT WIPO	A61B	17/04	

## OTHER ART

(Including Author, Title, Date, Pertinent Pages, Publication, Etc.)

	C1	Contractor QQ et al., Endoscopic esophagitis and gastroesophageal flap valve. <i>J Clin Gastroenterol</i> 1999 Apr;29(3):233-7.
	C2	Donahue PE et al., Endoscopic control of gastro-esophageal reflux: status report. <i>World J Surg</i> 1992 Mar-Apr;16(2):343-6.
	C3	Donahue PE et al., Endoscopic sclerosis of the gastric cardia for prevention of experimental gastroesophageal reflux. <i>Gastrointest Endosc</i> 1990 May-Jun;36(3):253-6.
	C4	Hill LD and Kozarek RA, The gastroesophageal flap valve. <i>J Clin Gastroenterol</i> 1999 Apr;29(3):194-7.
	C5	Hill LD et al., Antireflux surgery. A surgeon's look. <i>Gastroenterol Clin North Am</i> 1990 Sep;19(3):745-75.
	C6	Hill LD et al., The gastroesophageal flap valve: in vitro and in vivo observations. <i>Gastrointest Endosc</i> 1996 Nov;44(5):541-7.
	C7	Hill LD, Intraoperative measurement of lower esophageal sphincter pressure. <i>J Thorac Cardiovasc Surg</i> 1978 Mar;75(3):378-82.
	C8	Hill LD, Myths of the esophagus. <i>J Thorac Cardiovasc Surg</i> 1989 Jul;98(1):1-10.
	C9	Ismail T et al., Yield pressure, anatomy of the cardia and gastro-oesophageal reflux. <i>Br J Surg</i> 1995 Jul;82(7):943-7.



sheet 12 of 14

FORM PTO-1449(Modified)

ATTY. DOCKET NO. N0388/7000

SERIAL NO. 10/8/2012  
09536275LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S  
INFORMATION DISCLOSURE STATEMENT

APPLICANT Laufer et al.

FILING DATE 7 March 2000 04/08/2004GROUP 3739 3731

## U.S. PATENT DOCUMENTS

Exam Init	Ref Des	Document No.	Date	Name	Class	Sub Class	FILING DATE If Appropriate
<u>2/2/00</u>	A8	US 5,088,979	02/18/92	Filipi et al.	604	26	
	A9	US 5,254,126	10/19/93	Filipi et al.	606	146	
	A10	US 5,573,496	11/12/96	McPherson et al.	600	217	
	A11	US 5,676,674	10/14/97	Bolanos et al.	606	139	
	A12	US 5,897,562	04/27/99	Bolanos et al.	606	139	
	A13	US 6,067,990	08/30/00	Kieturakis	128	898	

## FOREIGN PATENT DOCUMENTS

	Country & Doc. No. (11)	Pub. Date (43)	Class	Sub Class	Translation Yes No

## OTHER ART

(Including Author, Title, Date, Pertinent Pages, Publication, Etc.)

<u>2/2/00</u>	C18	Carvalho PJPC et al., Fibrosis of gastric cardia after endoscopic sclerosis. Mechanism for control of experimental reflux? <i>Am Surg</i> 1990 Mar;56(3):163-6.
	C19	Kadirkamanathan SS et al., An ambulant porcine model of acid reflux used to evaluate endoscopic gastroplasty. <i>Gut</i> 1999 Jun;44(6):782-8.
	C20	O'Connor KW et al., An experimental endoscopic technique for reversing gastroesophageal reflux in dogs by injecting inert material in the distal esophagus. <i>Gastrointest Endosc</i> 1984 Oct;30(5):275-80.
	C21	Rupp TH and Lehman GA, Endoscopic antireflux techniques. Endoluminal and laparoscopic. <i>Gastrointest Endosc Clin N Am</i> 1994 Apr;4(2):353-68.
	C22	Shafik A, Intraesophageal Polytef injection for the treatment of reflux esophagitis. <i>Surg Endosc</i> 1996 Mar;10(3):329-31.
	C23	Thor KBA et al., Reappraisal of the flap valve mechanism in the gastroesophageal junction. A study of a new valvuloplasty procedure in cadavers. <i>Acta Chir Scand</i> 1987 Jan;153(1):25-8.

\* a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, Serial No. \_\_\_\_\_, filed \_\_\_\_\_, and relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional applications).

EXAMINER

Julian M. Woo

DATE CONSIDERED

8-1-07

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered.  
Include copy of this form with next communication to applicant

Sheet

13  
2 of 14

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 11898-002002	Application No. 10/654,655-10/820127
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)		Applicant Michael D. Laufer, et al.	
		Filing Date 04/08/2004 September 9, 2000	
(37 CFR §1.98(b))		Group Art Unit 3773	

## U.S. Patent Documents

U.S. Patent Documents							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
JMM	BA	5,356,416	10/18/94	Chu et al.			
	BB	5,358,508	10/25/94	Cobb			
	BC	5,364,408	11/15/94	Gordon			
	BD	5,441,507	8/15/95	Wilk			
	BE	5,447,512	9/5/95	Wilson et al.			
	BF	5,486,189	1/23/96	Mudry et al.			
	BG	5,496,331	3/5/96	Xu et al.			
	BH	5,522,820	6/4/96	Caspari et al.			
	BI	5,549,618	8/27/96	Fleenor et al.			
	BJ	5,571,090	11/5/96	Sherts			
	BK	5,624,453	4/29/97	Ahmed			
	BL	5,626,613	5/6/97	Schmieding			
	BM	5,662,683	9/2/97	Kay			
	BN	5,665,096	9/9/97	Yoon			
	BO	5,697,940	12/16/97	Chu et al.			
	BP	5,722,421	3/3/98	Francesse et al.			
	BQ	5,725,524	3/10/98	Mulier et al.			
	BR	5,728,109	3/17/98	Schulze et al.			
	BS	5,735,861	4/7/98	Peifer et al.			
	BT	5,741,280	4/21/98	Fleenor			
BU	5,749,898	5/12/98	Schulze et al.				
BV	5,797,927	8/25/98	Yoon				
BW	5,814,054	9/29/90	Kortenbach et al.				
BX	5,826,776	10/27/98	Schulze et al.				
BY	5,846,254	12/8/98	Schulze et al.				
BZ	5,853,409	12/29/98	Swanson et al.				
CA	5,855,311	1/5/99	Hamblin et al.				

Examiner Signature J. M. M. Moo	Date Considered 8-1-07
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Sheet <sup>14</sup> 2 of <sup>14</sup> 3

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 11898-002002	Application No. <u>10/820127</u> <del>69/654,655</del>
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)		Applicant <b>Michael D. Laufer, et al.</b>	
		Filing Date <u>04/08/2004</u> <b>September 3, 2004</b>	Group Art Unit <b>3731</b>
(37 CFR §1.98(b))			

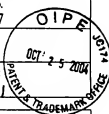
U.S. Patent Documents							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
<i>JMM</i>	CB	5,893,592	4/13/99	Schulze et al.			
	CC	5,993,466	11/30/99	Yoon			
	CD	6,051,003	4/18/00	Chu et al.			
	CE	6,059,798	5/9/00	Tolkoff			
	CF	6,159,146	12/12/00	El Gazayerli			
	CG	6,179,840	1/30/01	Bowman			
	CH	6,221,084	4/24/01	Fleenor			

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
<i>JMM</i>	CI	WO 00/78229	12/28/00	WIPO	PCT		Yes	No
	CJ							

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	CK	
	CL	
	CM	
	CN	

Examiner Signature <i>Richard W. Moo</i>	Date Considered <b>8-1-07</b>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 11898-002004	Application No. 10/820,127
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)		Applicant <b>MICHAEL D. LAUFER, ET AL.</b>	
		Filing Date April 8, 2004	Group Art Unit 3739-3771



U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
JMM	AA	3,470,875	10/7/1969	Johnson			
	AB	3,638,653	2/1/1972	Berry			
	AC	3,749,085	7/31/1973	Wilson et al.			
	AD	3,842,840	10/22/1974	Schweizer			
	AE	3,901,244	8/26/1975	Schweizer			
	AF	3,946,740	3/30/1976	Bassett			
	AG	4,006,747	2/8/1977	Kronenthal			
	AH	4,164,225	8/14/1979	Johnson			
	AI	4,235,238	11/25/1980	Ogiu			
	AJ	4,448,194	5/15/1984	Di Giovanni			
	AK	4,471,781	9/18/1984	Di Giovanni			
	AL	4,500,024	2/19/1985	Di Giovanni			
	AM	4,506,670	3/26/1985	Crossley			
	AN	4,573,469	3/4/1986	Golden			
	AO	4,585,153	4/29/1986	Failla			
	AP	4,586,502	5/6/1986	Bedi			
	AQ	4,591,085	3/27/1986	Di Giovanni			
	AR	4,605,004	8/12/1986	Di Giovanni			
	AS	4,606,345	8/19/1986	Dorband			
	AT	4,627,437	12/9/1986	Bedi			
	AU	4,653,496	3/31/1987	Bundy et al.			
	AV	4,669,473	6/2/1987	Richards et al.			
	AW	4,724,840	2/16/1988	McVay			
	AX	4,736,746	4/12/1988	Anderson			
	AY	4,741,336	5/3/1988	Failla			
	AZ	4,887,612	12/19/1989	Esser			
	BA	4,890,615	1/2/1990	Caspari			

Examiner Signature <i>John M. Moo</i>	Date Considered 8-1-07
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 11898-002004	Application No. 10/820,127
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)		Applicant <b>MICHAEL D. LAUFER, ET AL.</b>	
		Filing Date April 8, 2004	Group Art Unit <u>3739-3731</u>

(37 CFR §1.98(b))

**U.S. Patent Documents**

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
JMM	BB	4,935,027	6/19/1990	Yoon			
	BC	5,080,663	1/14/1992	Mills et al.			
	BD	5,147,373	9/15/1992	Ferzil			
	BE	5,395,030	3/7/1995	Kuramoto			
	BF	5,792,478	8/11/1998	Lawin			
	BG	5,810,855	9/22/1998	Rayburn			
	BH	5,899,915	5/4/1999	Saadat			
	BI	6,238,335	5/29/2001	Silverman et al.			
	BJ	6,254,642	7/3/2001	Taylor			
	BK	6,544,503	4/8/2003	Vanderhoff et al.			
	BL	6,547,776	4/15/2003	Gaiser et al.			
	BM	6,558,429	5/6/2003	Taylor			
	BN	6,562,034	5/13/2003	Edwards et al.			
	BO	6,589,238	7/8/2003	Edwards et al.			
	BP	6,591,838	7/15/2003	Durgin			
	BQ	6,595,909	7/22/2003	Silverman et al.			
	BR	6,595,910	7/22/2003	Silverman et al.			
	BS	6,604,004	8/5/2003	Zelickson et al.			
	BT	6,613,047	9/2/2003	Edwards			
	BU	6,673,070	1/6/2004	Edwards et al.			
	BV	6,695,764	2/24/2004	Silverman et al.			
	BW	6,712,074	3/30/2004	Edwards et al.			
	BX	6,712,814	3/30/2004	Edwards et al.			
	BY	2003/0068326	4/10/2003	Gevas et al.			
	BZ	2003/0135206	7/17/2003	Edwards et al.			
	CA	2003/0199731	10/23/2003	Silverman et al.			
	CB	2004/0059350	3/25/2004	Gordon et al.			

Examiner Signature

*Julian M. Moo*

Date Considered

*8-1-07*

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Disclosure Form (PTO-1449)



Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 11898-002004	Application No. 10/820,127
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)		Applicant <b>MICHAEL D. LAUFER, ET AL.</b>	
		Filing Date April 8, 2004	Group Art Unit <del>3739</del> <b>3731</b>

(37 CFR §1.98(b))

**U.S. Patent Documents**

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
<i>JMM</i>	CC	2004/0082950	4/29/2004	Edwards et al.			

**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
<i>JMM</i>	CD	0 646 356	4/4/1995	EP				
	CE	0 668 058	8/23/1995	EP				
	CF	0 743 044	4/16/2003	EP				
	CG	2 768 324	3/19/1999	FRANCE				
	CH	WO 99/60931	12/2/1999	WIPO				
	CI	WO 00/78227	12/28/2000	WIPO				

**Other Documents (include Author, Title, Date, and Place of Publication)**

Examiner Initial	Desig. ID	Document
<i>JMM</i>	CJ	Hinder et al., "The surgical option for gastroesophageal reflux disease", Symposium on gastroesophageal reflux disease, AM J. Med., 103: 1445-1485, 1997.
	CK	Singh et al., "Evaluation of the Endoscopic Suturing System in the Treatment of the GERD", Conference Abstract for Plenary Session for Digestive Disease Week, p.314 & A-802, May 16-19, 1999.
	CL	The American Journal of Gastroenterology, vol. 91, no. 3, 1996, pg. 616-617.
	CM	European Search Report mailed September 2, 2004, in EP 04 07 6389.

Examiner Signature <i>Gabian M. M. 00</i>	Date Considered <i>8-1-07</i>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 11898-002004	Application No. 10/820,127
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)		Applicant <b>MICHAEL D. LAUFER, ET AL.</b>	
		Filing Date April 8, 2004	Group Art Unit 3739 3731
(37 CFR §1.98(b))			

### U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
JMM	AA	5,571,116	11/05/1996	Bolanos et al.			
JMM	AB	4,841,888	06/27/1989	Mills et al.			
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

### Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
JMM	AL	WO 99/00059	01/07/1999	WIPO				
JMM	AM	61-122852	06/10/1986	JAPAN			4,841,888 - English language counterpart patent	
	AN							
	AO							
	AP							

### Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	AQ	
	AR	
	AS	

Examiner Signature <i>Graham M. Woo</i>	Date Considered 8-1-07
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	